

### STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Inventor/Assignee: Rolls-Royce Corporation

Application No./Patent No.: 10/765,300 Filed/Issue Date: January 27, 2004

Entitled: METHOD FOR CARBURIZING STEEL COMPONENTS

Rolls-Royce Corporation, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014935, Frame 0496, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

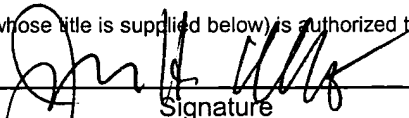
1. From: \_\_\_\_\_ To: \_\_\_\_\_  
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Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document (s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
\_\_\_\_\_  
Signature

John H. Allie  
Printed or Typed Name

Attorney for Assignee

Title

1/18/05  
\_\_\_\_\_  
Date

317-261-7944  
Telephone number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETE D FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Doc Code:

PTO/SB/80 (11-04)  
Approved for use through 11/30/2005. OMB 0651-0035  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO**

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:

☒ Practitioners associated with the Customer

23643

OR

☐ Practitioner(s) named below (If more than ten practitioners are to be named, then a customer number must be used):

Name	Registration Number	Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:

☒ The address associated with Customer

23643

OR

☐ Firm or

Address

City

State

Zip

Country

Telephone

Fax

Assignee Name and Address:

Rolls-Royce Corporation  
2001 S. Tibbs Avenue, Mail Drop u27  
Indianapolis, IN 46241

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

**SIGNATURE of Assignee of Record**

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature	<i>Daniel M. Barbieri</i>	Date	1-14-05
Name	DANIEL M. BARBIERI	Telephone	317-230-5446
Title	LEGAL COUNSEL		

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

AUGUST 03, 2004

PTAS  
WOODWARD, EMHARDT, MORIARTY, MCNETT  
JOHN H. ALLIE  
111 MONUMENT CIRCLE  
SUITE 3700  
INDIANAPOLIS, IN 46204



\*102659546 RECEIVED

AUG 9 - 2004

Woodward, Emhardt, Moriarty,  
McNett & Henry LLP

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 01/27/2004

REEL/FRAME: 014935/0496  
NUMBER OF PAGES: 7

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HAMMOND, STEPHEN N.

DOC DATE: 01/15/2004

ASSIGNOR:

TRIVEDI, UDAYAN

DOC DATE: 01/22/2004

ASSIGNOR:

DOUBTS, THOMAS L.

DOC DATE: 01/22/2004

ASSIGNOR:

STECKBAUER, DOUGLAS

DOC DATE: 01/22/2004

ASSIGNEE:

ROLLS-ROYCE CORPORATION  
P.O. BOX 420  
INDIANAPOLIS, INDIANA 46206-0420

. 014935/0496 PAGE 2

SERIAL NUMBER: 10765300

FILING DATE: 01/27/2004

PATENT NUMBER:

ISSUE DATE:

TITLE: METHOD FOR CARBURIZING STEEL COMPONENTS

JOANN STEWART, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

02-03-2004



To the Honorable Commissioner of Patents

Additional documents or copy thereof.

1. Name of conveying party(ies):

Stephen N. Hammond

Udayan Trivedi

Thomas L. Doubts

Douglas C. Steckbauer

102659566

1-21-04

2. Name and address of receiving party(ies)

Name Rolls-Royce Corporation

Internal Address \_\_\_\_\_

Street Address P. O. Box 420

City Indianapolis State IN Zip 46206-0420

Additional name(s) & address(es) attached? ☐ Yes ☒ No

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other: \_\_\_\_\_

Execution Date: January 15, 2004 & January 22, 2004

031431 U.S. PTO  
10765300



4. Application number(s) or registration number(s):

10765300

If this document is being filed together with a new application, the execution date of the application is: January 13, 15, 22, 2004

A. Patent Application No.(s)

A. Patent No.(s)

Additional number(s) attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name John H. Allie

Internal Address Woodard, Emhardt, Moriarty, McNett,  
& Henry LLP

Street Address 111 Monument Circle  
Suite 3700

City Indianapolis State IN ZIP 46204

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41)

\$ 40.00

- ☒ Enclosed  
☐ Authorized to be charged to deposit account

8. Deposit account number:

23-3030

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and Signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

John H. Allie  
Name of Person Signing

[Signature]  
Signature

January 27, 2004  
Date

Total number of pages including cover sheet, attachments, and document: 6

Mail documents to be recorded with required cover sheet information to:  
Director of the U.S. Patent and Trademark Office, Mail Stop Assignment Recordation Services  
P.O. Box 1450, Alexandria, VA 22313-1450  
or VIA FACSIMILE (703) 306-5995 006001-001001.JHA.262126

01/30/2004 MGBREM1 00000006 10765300

14 FC:8021

Express Mail label number EV 394104610 US

Date of Deposit January 27, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated above and is addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

[Signature]  
Signature of person mailing paper or fee

## ASSIGNMENT

WHEREAS, Stephen N. Hammond of 67 Stoneybrook Drive, Brownsburg, Indiana, 46112; Udayan Trivedi of 1505 Oakwood Trail, Indianapolis, Indiana, 46260; Thomas L. Doubts of 816 East 530 North, Heber City, Utah, 84032; and Douglas C. Steckbauer of 1355 West Settlement, Park City, Utah, 84098, hereinafter referred to as Assignors, have made one or more new and useful inventions in **METHOD FOR CARBURIZING STEEL COMPONENTS** for which Assignors have made or will make application for Letters Patent of the United States (hereinafter the "Application"); and

WHEREAS, Rolls-Royce Corporation., hereinafter referred to as Assignee, a corporation of the State of Delaware, having a principal place of business at P. O. Box 420, Indianapolis, Indiana, 46206-0420, desires to acquire all of the entire right, title, and interest in, to and under the one or more inventions disclosed, described and claimed or intended so to be in the Application, and in, to and under the Application, and in, to and under any and all Letters Patent, United States and foreign, which may be obtained therefor and thereon;

NOW, THEREFORE, to all whom it may concern, be it known that for and in consideration of the sum of One Dollar (\$1.00) and other good, valuable and sufficient considerations to Assignors in hand paid, the receipt of which is hereby acknowledged, Assignors have sold, assigned and transferred, and by these presents do sell, assign and transfer unto Assignee, all of the entire right, title, and interest in, to and under the one or more inventions disclosed, described and claimed or intended so to be in the Application entitled **METHOD FOR CARBURIZING STEEL COMPONENTS**, and any and all other applications thereon and arising therefrom, including any and all applications claiming the benefit thereof, and any and all divisions, continuations, and continuation-in-parts thereof, and

any and all patents to be issued and obtained therefor and thereon, United States and foreign, including all reissues and extensions thereof.

Assignors acknowledge that the Application was executed concurrently herewith unless a different execution date is indicated in item (a) below. Assignors hereby authorize the Assignee, its counsel, or its agents to fill-in some or all of the following list of information items (a) through (c) at the discretion of the Assignee, its counsel, or its agents:

(a) Execution Date of the Application:\_\_\_\_\_.

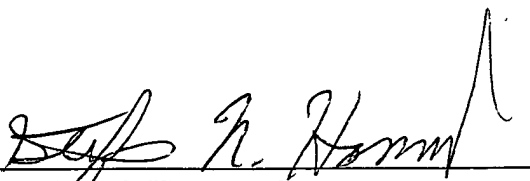
(b) Patent Office Number for the Application:\_\_\_\_\_.

(c) Filing date of the Application:\_\_\_\_\_.

Assignors hereby authorize and request the Honorable Assistant Secretary and Commissioner of Patents and Trademarks to issue said Letters Patent to Assignee, its assigns and legal representatives.

Assignors agree to assign and execute any and all other papers necessary or desirable for the procurement of Letters Patent on said invention in this and all foreign countries for the use of Assignee.

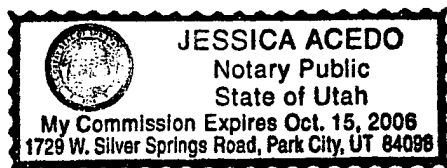
WITNESS First Assignor's hand this 15 day of JANUARY, 2004.

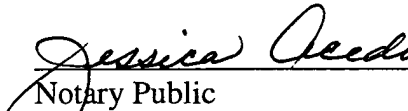
  
Stephen N. Hammond

STATE OF ~~INDIANA~~ Utah )  
COUNTY OF Summit ) : ss

Before me, a Notary Public, in and for said County and State, personally appeared Stephen N. Hammond, who, being first duly sworn upon his oath, acknowledged the execution of the foregoing "Assignment" as his voluntary act and deed.

WITNESS my hand and Notarial Seal this 15th day of January, 2004.



  
Notary Public

Printed: JESSICA ACEDO

Resident of Summit County

My Commission Expires:

10-15-2006



WITNESS Second Assignor's hand this 22<sup>nd</sup> day of January, 2004.

Udayan Trivedi  
Udayan Trivedi

STATE OF INDIANA )  
COUNTY OF Johnson ) : ss

Before me, a Notary Public, in and for said County and State, personally appeared Udayan Trivedi, who, being first duly sworn upon his oath, acknowledged the execution of the foregoing "Assignment" as his voluntary act and deed.

WITNESS my hand and Notarial Seal this 22<sup>nd</sup> day of January, 2004.

Cynthia A. Baxter  
Notary Public

Printed: Cynthia A Baxter

Resident of Johnson County

My Commission Expires:

9/25/07

WITNESS Third Assignor's hand this 15 day of January, 2004.

Thomas L. Doubts

Thomas L. Doubts

STATE OF Utah )  
COUNTY OF Summit ) : ss

Before me, a Notary Public, in and for said County and State, personally appeared Thomas L. Doubts, who, being first duly sworn upon his oath, acknowledged the execution of the foregoing "Assignment" as his voluntary act and deed.

WITNESS my hand and Notarial Seal this 15th day of January, 2004.



Jessica Acedo  
Notary Public

Printed: JESSICA ACEDO

Resident of Summit County

My Commission Expires:

10-15-2006

WITNESS Third Assignor's hand this 15 day of January, 2004.

Douglas C. Steckbauer  
Douglas C. Steckbauer

STATE OF Utah )  
COUNTY OF Summit ) : ss

Before me, a Notary Public, in and for said County and State, personally appeared Douglas C. Steckbauer, who, being first duly sworn upon his oath, acknowledged the execution of the foregoing "Assignment" as his voluntary act and deed.

WITNESS my hand and Notarial Seal this 15th day of January, 2004.



Jessica Acedo  
Notary Public

Printed: JESSICA ACEDO

Resident of Summit County

My Commission Expires:

10-15-2006